

16698 U.S. PTO  
033104

PTO/SB/05 (08-03)

Approved for use through 07/31/2006. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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| <b>UTILITY<br/>PATENT APPLICATION<br/>TRANSMITTAL</b><br><small>(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))</small> | <b>Attorney Docket No.</b> 6013-131US DAT/al                                 |
|  | <b>First Inventor</b> Andrew P. Coughlan                                     |
|  | <b>Title</b> METHOD FOR COLONIZING A PLANT WITH AN<br>ECTOMYCORRHIZAL FUNGUS |
|  | <b>Express Mail Label No.</b>  |

|  |  |  |
|--|--|--|
| <b>APPLICATION ELEMENTS</b><br><small>See MPEP chapter 600 concerning utility patent application contents.</small>   | <b>ADDRESS TO:</b><br>Mail Stop Patent Application<br>Commissioner for Patents<br>P.O. Box 1450<br>Alexandria VA 22313-1450  |  |
| 1. <input checked="" type="checkbox"/> *Fee Transmittal Form (e.g., PTO/SB/17)<br><small>(Submit an original and a duplicate for fee processing)</small>   | 7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)  |  |
| 2. <input checked="" type="checkbox"/> Applicant claims small entity status.<br>See 37 CFR 1.27.   | 8. Nucleotide and/or Amino Acid Sequence Submission<br><small>(if applicable, all necessary)</small>   |  |
| 3. <input checked="" type="checkbox"/> Specification [Total Pages 13]<br><small>(preferred arrangement set forth below)</small> <ul style="list-style-type: none"><li>- Descriptive title of the Invention</li><li>- Cross References to Related Applications</li><li>- Statement Regarding Fed sponsored R &amp; D</li><li>- Reference to sequence listing, a table, or a computer program listing appendix.</li><li>- Background of the Invention</li><li>- Brief Summary of the Invention</li><li>- Brief Description of the Drawings (if filed)</li><li>- Detailed Description</li><li>- Claim(s)</li><li>- Abstract of the Disclosure</li></ul> | a. <input type="checkbox"/> Computer Readable Form (CRF)<br>b. Specification Sequence Listing on: <ul style="list-style-type: none"><li>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</li><li>ii. <input type="checkbox"/> paper</li></ul> c. <input type="checkbox"/> Statements verifying identity of above copies |  |
| 4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 1]   | <b>ACCOMPANYING APPLICATION PARTS</b>  |  |
| 5. Oath or Declaration [Total Pages]<br>a. <input type="checkbox"/> Newly executed (original or copy)<br>b. <input type="checkbox"/> Copy from a prior application (37 C.F.R. § 1.63(d))<br><small>(for continuation/divisional with Box 18 completed)</small><br>i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b><br><small>Signed statement attached deleting<br/>inventor(s) named in the prior application,<br/>see 37 C.F.R. 1.63(d)(2) and 1.33(b).</small>  | 9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))  |  |
| 6. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76.  | 10. <input type="checkbox"/> 37 C.F.R. 1.73 (b) Statement <input type="checkbox"/> Power of Attorney<br><small>(when there is an assignee)</small>   |  |
|  | 11. <input type="checkbox"/> English Translation Document (if applicable)  |  |
|  | 12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations  |  |
|  | 13. <input type="checkbox"/> Preliminary Amendment   |  |
|  | 14. <input type="checkbox"/> Return Receipt Postcard (MPEP 503)<br><small>(Should be specifically itemized)</small>  |  |
|  | 15. <input type="checkbox"/> Certified Copy of Priority Document(s)<br><small>(if foreign priority is claimed)</small>   |  |
|  | 16. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent  |  |
|  | 17. <input type="checkbox"/> Other: _____  |  |

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_

Group / Art Unit: \_\_\_\_\_

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The Incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

|  |                                       |   |                |  |                |
|--|---------------------------------------|---|----------------|--|----------------|
| <b>19. CORRESPONDENCE ADDRESS</b>              |                                       |   |                |  |                |
| <input type="checkbox"/> Customer Number Label |                                       | <b>20988</b><br><small>(Insert Customer No. here)</small> |                | <input checked="" type="checkbox"/> Correspondence address below |                |
| Name   | OGILVY RENAULT                        |   |                |  |                |
| Address  | Suite 1600, 1981, McGill College Ave. |   |                |  |                |
| City   | Montreal                              | State   | Quebec         | Postal Code or Zip Code  | H3A 2Y3        |
| Country  | Canada                                | Telephone   | (514) 845-7126 | Fax  | (514) 288-8389 |

|                   |                        |                                   |                |
|-------------------|------------------------|-----------------------------------|----------------|
| Name (Print/Type) | ISABELLE CHABOT        | Registration No. (Attorney/Agent) | 55,764         |
| Signature         | <i>Isabelle Chabot</i> | Date                              | March 30, 2004 |

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# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ ) 385

## Complete if Known

Application Number  
Filing Date  
First Named Inventor **Andrew P. Coughlan**  
Examiner Name  
Art Unit  
Attorney Docket No. **6013-131US DAT/al**

### METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None  
☒ Deposit Account :

Deposit Account Number **19-5113**

Deposit Account Name **OGILVY RENAULT**

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments  
☒ Charge any additional fee(s) or any underpayment of fee(s)  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

### FEE CALCULATION

#### 1. BASIC FILING FEE

| Large Entity      | Small Entity | Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description        | Fee Paid |
|-------------------|--------------|----------|----------|----------|----------|------------------------|----------|
| 1001              | 770          | 2001     | 385      |          |          | Utility filing fee     | 385      |
| 1002              | 340          | 2002     | 170      |          |          | Design filing fee      |          |
| 1003              | 530          | 2003     | 265      |          |          | Plant filing fee       |          |
| 1004              | 770          | 2004     | 385      |          |          | Reissue filing fee     |          |
| 1005              | 160          | 2005     | 80       |          |          | Provisional filing fee |          |
| SUBTOTAL (1) (\$) |              |          |          |          |          |                        | 385      |

#### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

| Total Claims       | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| 18                 | - 20** =     | X              | 0        |
| 3                  | - 3** =      | X              | 0        |
| Multiple Dependent |              |                | 0        |

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description  |
|--------------|--------------|----------|----------|----------|----------|--|
| 1202         | 18           | 2202     | 9        |          |          | Claims in excess of 20                                     |
| 1201         | 86           | 2201     | 43       |          |          | Independent claims in excess of 3                          |
| 1203         | 290          | 2203     | 145      |          |          | Multiple dependent claim, if not paid                      |
| 1204         | 86           | 2204     | 43       |          |          | ** Reissue independent over original patent                |
| 1205         | 18           | 2205     | 9        |          |          | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$ ) 0

\*\* or number previously paid, if greater; For Reissues, see above

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description  | Fee Paid |
|--------------|--------------|----------|----------|----------|----------|--|----------|
| 1051         | 130          | 2051     | 65       |          |          | Surcharge - late filing fee or oath  |          |
| 1052         | 50           | 2052     | 25       |          |          | Surcharge - late provisional filing fee or cover sheet                     |          |
| 1053         | 130          | 1053     | 130      |          |          | Non-English specification  |          |
| 1812         | 2,520        | 1812     | 2,520    |          |          | For filing a request for reexamination                                     |          |
| 1804         | 920*         | 1804     | 920*     |          |          | Requesting publication of SIR prior to Examiner action                     |          |
| 1805         | 1,840*       | 1805     | 1,840*   |          |          | Requesting publication of SIR after Examiner action                        |          |
| 1251         | 110          | 2251     | 55       |          |          | Extension for reply within first month                                     |          |
| 1252         | 420          | 2252     | 210      |          |          | Extension for reply within second month                                    |          |
| 1253         | 950          | 2253     | 475      |          |          | Extension for reply within third month                                     |          |
| 1254         | 1,480        | 2254     | 740      |          |          | Extension for reply within fourth month                                    |          |
| 1255         | 2,010        | 2255     | 1,005    |          |          | Extension for reply within fifth month                                     |          |
| 1401         | 330          | 2401     | 165      |          |          | Notice of Appeal   |          |
| 1402         | 330          | 2402     | 165      |          |          | Filing a brief in support of an appeal                                     |          |
| 1403         | 290          | 2403     | 145      |          |          | Request for oral hearing   |          |
| 1451         | 1,510        | 1451     | 1,510    |          |          | Petition to institute a public use proceeding                              |          |
| 1452         | 110          | 2452     | 55       |          |          | Petition to revive - unavoidable   |          |
| 1453         | 1,330        | 2453     | 665      |          |          | Petition to revive - unintentional   |          |
| 1501         | 1,330        | 2501     | 665      |          |          | Utility issue fee (or reissue)   |          |
| 1502         | 480          | 2502     | 240      |          |          | Design issue fee   |          |
| 1503         | 640          | 2503     | 320      |          |          | Plant issue fee  |          |
| 1460         | 130          | 1460     | 130      |          |          | Petitions to the Commissioner  |          |
| 1807         | 50           | 1807     | 50       |          |          | Petitions related to provisional applications                              |          |
| 1806         | 180          | 1806     | 180      |          |          | Submission of Information Disclosure Stmt                                  |          |
| 8021         | 40           | 8021     | 40       |          |          | Recording each patent assignment per property (times number of properties) |          |
| 1809         | 770          | 2809     | 385      |          |          | Filing a submission after final rejection(37 CFR § 1.129(a))               |          |
| 1810         | 770          | 2810     | 385      |          |          | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 1801         | 770          | 2801     | 385      |          |          | Request for Continued Examination (RCE)                                    |          |
| 1802         | 900          | 1802     | 900      |          |          | Request for expedited examination of a design application                  |          |

Other fee (specify)

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ )

### SUBMITTED BY

Name (Print/Type) **ISABELLE CHABOT**

Signature *Isabelle Chabot*

Registration No. (Attorney/Agent) **55,764**

### Complete (if applicable)

Telephone **(418) 640-5174**

Date **March 30, 2004**